

Message Text

UNCLASSIFIED

PAGE 01 OTTAWA 02903 202146Z
ACTION EB-08

INFO OCT-01 EUR-12 ISO-00 SEC-01 TRSE-00 /022 W
-----210437Z 032401 /73

R 202136Z APR 77
FM AMEMBASSY OTTAWA
TO SECSTATE WASHDC 3191

UNCLAS OTTAWA 02903

EO 11652: N/A
TAGS: CGEN
SUBJECT: NASD EXAMINATIONS

1. EMBASSY RECEIVES CONSTANT TRICKLE OF EXAMINATIONS TO BE ADMINISTERED TO CANADIAN BROKERS IN BEHALF OF NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. ALL OF THESE SEEM TO BE URGENT EXAMINATIONS, WITH APPLICANTS OFTEN TELEPHONING FOR EXAMINATION APPOINTMENTS BEFORE MATERIALS RECEIVED BY EMBASSY. THIS CONSTITUTES CHRONIC INTERRUPTION FOR SMALL CONSULAR STAFF.
2. OUR UNDERSTANDING IS THAT DEPARTMENT'S COMMITMENT TO NASD WAS TO PROCTOR EXAMINATIONS FOR GROUPS OF APPLICANTS AT REGULARLY SCHEDULED INTERVALS. SUGGEST NASD BE REMINDED OF THIS AND URGED TO COMPLY.
3. IN VIEW OF HEAVY AND GROWING CONSULAR WORKLOADS WORLDWIDE, EMBASSY QUESTIONS WHETHER IT IS INDEED APPROPRIATE FOR CONSULAR OFFICERS TO PROCTOR EXAMINATIONS IN BEHALF OF ONE PRIVATE PROFESSIONAL ASSOCIATION WHEN WE DO NOT DO SO FOR OTHERS. REQUEST DEPARTMENT REEXAMINE NASD ARRANGEMENT IN LIGHT OF PRECEDENT IT APPEARS TO SET.
ENDERS

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NNN

Message Attributes

Automatic Decaptioning: X
Capture Date: 01-Jan-1994 12:00:00 am
Channel Indicators: n/a
Current Classification: UNCLASSIFIED
Concepts: n/a
Control Number: n/a
Copy: SINGLE
Sent Date: 20-Apr-1977 12:00:00 am
Decaption Date: 01-Jan-1960 12:00:00 am
Decaption Note:
Disposition Action: n/a
Disposition Approved on Date:
Disposition Case Number: n/a
Disposition Comment:
Disposition Date: 01-Jan-1960 12:00:00 am
Disposition Event:
Disposition History: n/a
Disposition Reason:
Disposition Remarks:
Document Number: 1977OTTAWA02903
Document Source: CORE
Document Unique ID: 00
Drafter: n/a
Enclosure: n/a
Executive Order: N/A
Errors: N/A
Expiration:
Film Number: D770138-0340
Format: TEL
From: OTTAWA
Handling Restrictions: n/a
Image Path:
ISecure: 1
Legacy Key: link1977/newtext/t19770438/aaaabgnf.tel
Line Count: 46
Litigation Code IDs:
Litigation Codes:
Litigation History:
Locator: TEXT ON-LINE, ON MICROFILM
Message ID: 8314b1a1-c288-dd11-92da-001cc4696bcc
Office: ACTION EB
Original Classification: UNCLASSIFIED
Original Handling Restrictions: n/a
Original Previous Classification: n/a
Original Previous Handling Restrictions: n/a
Page Count: 1
Previous Channel Indicators: n/a
Previous Classification: n/a
Previous Handling Restrictions: n/a
Reference: n/a
Retention: 0
Review Action: RELEASED, APPROVED
Review Content Flags:
Review Date: 09-Feb-2005 12:00:00 am
Review Event:
Review Exemptions: n/a
Review Media Identifier:
Review Release Date: n/a
Review Release Event: n/a
Review Transfer Date:
Review Withdrawn Fields: n/a
SAS ID: 2748719
Secure: OPEN
Status: NATIVE
Subject: NASD EXAMINATIONS
TAGS: CGEN
To: STATE
Type: TE
vdkgvwkey: odbc://SAS/SAS.dbo.SAS_Docs/8314b1a1-c288-dd11-92da-001cc4696bcc
Review Markings:
Margaret P. Grafeld
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